



16076 U.S. PTO

# UTILITY PATENT APPLICATION TRANSMISSION

Our Docket No.:  
A-67520-5/RMA(469113-47)

Date: February 27, 2004

First Named Inventor: Gerald S. Maloney

Title: Chemical Mechanical Polishing Head Assembly  
Having Floating Wafer Carrier and Retaining Ring

Express Mail No.: EV182097947US

17302 U.S. PTO  
10/789773

ADDRESS TO:

**Box Patent Application**  
**Commissioner for Patents**  
**Washington, D.C. 20231**

**APPLICATION ELEMENTS**

1. ☒ Fee Calculation Sheet  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status
3. ☒ Specification Total Pages: 37
  - ☒ Descriptive title of the invention
  - ☒ Related Applications
  - ☐ Statement Regarding Fed. Sponsored R&D
  - ☐ Reference to Microfiche Appendix
  - ☒ Background of the Invention
  - ☒ Brief Summary of the Invention
  - ☒ Brief Description of the Drawings
  - ☒ Detailed Description
  - ☒ Claims
  - ☒ Abstract of the Disclosure
4. ☒ Drawings (35 U.S.C. 113) Total Sheets: 15
5. ☒ Oath or Declaration Total Pages: 4
  - a. ☐ Newly Executed (original or copy)
  - b. ☒ Copy from a prior application (37 C.F.R. 1.63(d)) (for continuation/divisional with Box 19 completed)
    1. ☒ **DELETION OF INVENTORS**  
Signed statement attached deleting inventor(s) named in the prior application (37 C.F.R. 1.63(d)(2) and 1.33(b))
6. ☐ Application Data Sheet (37 C.F.R. 1.76)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (If applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. ☐ Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statement verifying identify of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Certification Under 35 U.S.C. 122(b)(2)(B)(i)
10. ☐ Assignment Papers (cover sheet & document(s))
11. ☐ 37 C.F.R. 3.73(b) Submission
12. ☐ Power of Attorney
13. ☐ English Translation Document (if applicable)
14. ☐ Information Disclosure Statement (with Copies of Citations as necessary)
15. ☐ Preliminary Amendment Total Pages:
16. ☒ Return Receipt Postcard (Should be specifically itemized)
17. ☐ Certified Copy of Priority document(s) (if foreign priority is claimed)
18. ☒ Check No. \_\_\_\_ for \$770.00

19. **If a CONTINUING APPLICATION**, check appropriate box and supply the requisite information:

☒ Continuation ☐ Division ☐ Continuation-in-part (CIP) of prior Application No.: 10/021,372 filed 10/30/2001, which is a Divisional Application No. 09/294,547 filed 04/19/1999 (now U.S. Patent No. 6,309,290).

For continuation or divisional applications: The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference

**CORRESPONDENCE ADDRESS**

ATTY NAME	R. Michael Ananian Reg. No. 35,050	SIGNATURE: <i>R. Michael Ananian</i>	DATE: February 27, 2004
ADDRESS	DORSEY & WHITNEY LLP Four Embarcadero Center Suite 3400 San Francisco, California 94111-4187		Customer Number: 32940
TELEPHONE	(650) 494-8700		
FAX	(640) 494-8771		

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022704  
U.S. PTO

# APPLICATION FEE TRANSMITTAL SHEET (FY 2004)

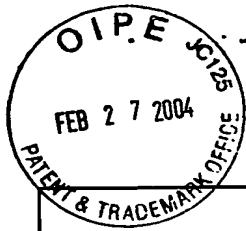
Complete if Known

Application No.	
Filing Date	February 27, 2004
First Named Inventor	Gerald S. Maloney
Group Art Unit	
Examiner Name	
Atty. Docket Number	A-67520-5/RMA(469113-47)

METHOD OF PAYMENT (Check One)				FEE CALCULATION (Continued)			
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account No.: 50-2319 Deposit Account Name: DORSEY & WHITNEY LLP <input checked="" type="checkbox"/> Charge any additional fee required under 37 C.F.R. 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status (see 37 C.F.R. 1.27)				<b>3. ADDITIONAL FEES</b>			
2. <input checked="" type="checkbox"/> Check Enclosed				Large Entity Fee	Small Entity Fee	Fee Description	Fee paid
<b>FEE CALCULATION</b>				50	25	Surcharge - late provisional filing fee or cover sheet	
				130	65	Surcharge - Late nonprovisional filing fee or oath	
				180	180	Submission of IDS	
				40	40	Recording each patent assignment per property (times number of properties)	
<b>1. BASIC FILING FEE</b>				110	55	Extension for reply within first month	
Large Entity Fee	Small Entity Fee	Fee Description		420	210	Extension for reply within second month	
160	80	<input type="checkbox"/> Provisional Filing Fee		950	475	Extension for reply within third month	
770	385	<input checked="" type="checkbox"/> Utility Filing Fee		1,480	740	Extension for reply within fourth month	
340	170	<input type="checkbox"/> Design Filing Fee		2010	1005	Extension for reply within fifth month	
770	385	<input type="checkbox"/> Reissue Filing Fee		770	385	Submission After Final 1.129	
Subtotal (1)		770.00		330	165	Notice of Appeal	
<b>2. EXTRA* CLAIM FEES</b>				330	165	Filing a brief in support of an appeal	
Number Claims	Prior	Extra	Fee from Below*	290	145	Request for oral hearing	
Total 19	- 20	= 0	x	110	55	Terminal Disclaimer Fee	
Indep. 3	- 3	= 0	x	130	130	Petitions to the Commissioner	
Multiple Dependent Claims			x	50	50	Petitions related to provisional applications	
Subtotal (2)		0		1,330	665	Utility/Reissue Issue Fee (including advance copies)	
<b>*Calculation of Extra Claim Fees</b>				480	240	Design Issue Fee (inc. advance copies)	
Large Entity Fee	Small Entity Fee	Fee Description		770	385	Request for Continued Examination (RCE)	
18	9	Claims in excess of 20		300	300	Publication fee for early, voluntary, or normal publication	
86	43	Independent claims in excess of 3		300	300	Publication fee for re-publication	
290	145	Multiple dependent Claim		110	55	Petition to Revive - unavoidable	
84	42	Reissue independent claims over original patent		1,330	665	Petition to Revive - unintentional	
18	9	Reissue claims in excess of 20 and over original patent		OTHER FEE (specify):			
				Subtotal (3)			
				Total Amount of Payment: 0			

Submitted by:

Name: R. Michael Ananian	Reg. No.: 35,050	Telephone: 650-494-8700
DORSEY & WHITNEY LLP	Four Embarcadero Center, Suite 3400 San Francisco, California 94111-4187	Customer Number 32940
Signature: <i>R. Michael Ananian</i>	Date: February 27, 2004	

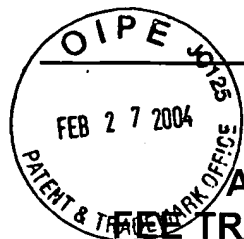


## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application No.	10/021,372	
	Filing Date	October 30, 2001	
	First Named Inventor	Huey-Ming Wang	
	Examiner Name	Eley, Timothy V.	
	Group Art Unit	3724	
Total Number of Pages in This Submission	3	Attorney Docket No.	A-67520-3/RMA

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input checked="" type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Check No. 6290 for \$950.00 Return receipt postcard
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, No. of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	Express Mail Label No. EV182097974US	
<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>		
Firm or Individual name	R. Michael Ananian DORSEY & WHITNEY LLP 4 Embarcadero Center, Suite 3400 San Francisco, CA 94111 Telephone : 415 781 1989	Customer Number 32940
Signature	<i>R. Michael Ananian</i> Reg. No.: 35,050	
Date	February 27, 2004	
<b>CERTIFICATE OF MAILING</b>		
I hereby certify that this correspondence is being deposited with the United States Postal Service with Sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on this date: 2/27/04		
Typed or printed name	Audra Hartman	
Signature	<i>Audra Hartman</i>	Date February 27, 2004



# **APPLICATION FEE TRANSMITTAL SHEET (FY 2004)**

Complete if Known	
Application No.	10/021,372
Filing Date	October 30, 2001
First Named Inventor	Huey-Ming Wang
Group Art Unit	3724
Examiner Name	Eley, Timothy V.
Atty. Docket Number	A-67520-3/RMA

METHOD OF PAYMENT (Check One)				FEE CALCULATION (Continued)			
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account No.: <u>50-2319</u> Deposit Account Name: <u>DORSEY &amp; WHITNEY LLP</u>  <input checked="" type="checkbox"/> Charge any additional fee required under 37 C.F.R. 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status (see 37 C.F.R. 1.27)				<b>3. ADDITIONAL FEES</b>			
2. <input checked="" type="checkbox"/> Check Enclosed				Large Entity Fee	Small Entity Fee	Fee Description	Fee paid
<b>FEE CALCULATION</b>				50	25	Surcharge - late provisional filing fee or cover sheet	
<b>1. BASIC FILING FEE</b>				130	65	Surcharge - Late nonprovisional filing fee or oath	
Large Entity Fee	Small Entity Fee	Fee Description		180	180	Submission of IDS	
160	80	<input type="checkbox"/> Provisional Filing Fee		40	40	Recording each patent assignment per property (times number of properties)	
770	385	<input type="checkbox"/> Utility Filing Fee					
340	170	<input type="checkbox"/> Design Filing Fee					
770	385	<input type="checkbox"/> Reissue Filing Fee					
Subtotal (1)				110	55	Extension for reply within first month	
<b>2. EXTRA* CLAIM FEES</b>				420	210	Extension for reply within second month	
Number Claims	Prior	Extra	Fee from Below*	950	475	Extension for reply within third month	\$950.00
Total	- 20	=	x	1,480	740	Extension for reply within fourth month	
Indep.	- 3	=	x	2010	1005	Extension for reply within fifth month	
Multiple Dependent Claims	=	x	=	770	385	Submission After Final 1.129	
Subtotal (2)				330	165	Notice of Appeal	
<b>*Calculation of Extra Claim Fees</b>				330	165	Filing a brief in support of an appeal	
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				770	385	Request for Continued Examination (RCE)	
				300	300	Publication fee for early, voluntary, or normal publication	
				300	300	Publication fee for re-publication	
				110	55	Petition to Revive - unavoidable	
				1,330	665	Petition to Revive - unintentional	
				OTHER FEE (specify):			
				Subtotal (3)			
				Total Amount of Payment: \$950.00			

Submitted by:

Name: R. Michael Ananian	Reg. No.: 35,050	Telephone: 650-494-8700
DORSEY & WHITNEY LLP	Four Embarcadero Center, Suite 3400 San Francisco, California 94111-4187	Customer Number 32940
Signature: <i>R. Michael Ananian</i>	Date: February 27, 2004	

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  WANG, et al.  Serial No.: TBD  Filing Date: Herewith  For: <b>CHEMICAL MECHANICAL POLISHING HEAD ASSEMBLY HAVING FLOATING WAFER CARRIER AND RETAINING RING</b>	Examiner: TBD  Group Art Unit: TBD
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**Statement Deleting Inventor Named in the Previous Application Pursuant to 37 CFR §1.63(d)(2)**


Mail Stop NEW APPLICATION  
COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §1.63(d)(2), Applicant requests that Huey-Ming Wang be deleted as inventor from the present application. The proper list of inventors is as follows: Gerard S. Moloney, Scott Chin, John J. Geraghty, William Dyson, Jr., and Tanlin K. Dickey. A copy of the signed declaration from the previous application, U.S. Serial Number 10/021,372 is enclosed.

While Applicants believe that no further fees are due, the Commissioner is authorized to charge any additional fees, including extension fees or other relief which may be required or credit any overpayment to Deposit Account No. 50-2319 (Our Order 469113-5).

Respectfully submitted,  
DORSEY & WHITNEY LLP

By   
R. Michael ANANIAN, Reg. No. 35,050  
Filed under 37 C.F.R. §1.34(a)

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